

08-17-01

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Express Mail Number: **EL896634945US**

Document No. **B-4274 618998-3**

Date: **August 16, 2001**

08/16/01  
11046 U.S. PTO

Commissioner of Patents and Trademarks  
Box New Patent Application  
Washington, D.C. 20231

JC997 U.S. PTO  
09/931526  
08/16/01

Sir:

**NEW APPLICATION TRANSMITTAL**

Transmitted herewith for filing is the patent application of

Inventor(s): (1) Arindam Das-Purkayastha (2) Siani Lynne Pearson  
(3) Liqun Chen

NOTE: Patent must be applied for in the name of all  
of the actual inventor or inventors.

For: "APPARATUS AND METHOD FOR ESTABLISHING TRUST"

Enclosed are:

**The Papers Required For Filing Date Under 37 CFR 1.53(b):**

23 Pages of specification 1 Page of abstract 1 Page of claims

7 Sheets of drawings [X] formal [ ] informal  
(Figs. 1-9)

[X] In addition to the above papers there is also attached

Postcard

Check for filing fee in the amount of \$710.00

Declaration/Power of Attorney (2 pages)

Change Of Correspondence Telephone Number

On Declaration/Power Of Attorney (1 page)

Claim to Priority (1 page)

Assignment Cover Sheet (1 page), Assignment document (1 page),  
and Check for \$40.00

**CERTIFICATION UNDER 37 CFR 1.10**

I hereby certify that this paper and the documents referred to as enclosed  
therein are being deposited with the United States Postal Service in an Express  
Mail envelope with sufficient postage for Express Mailing on this date  
**August 16, 2001** in an envelope as "Express Mail Post Office to Addressee" Mailing  
Label Number **EL896634945US** addressed to the:

Commissioner of Patents and Trademarks  
Box New Patent Application  
Washington, D.C. 20231

Karyn Lao

(Typed or printed name of person mailing paper)

(Signature of person mailing paper)

NOTE: Each paper or fee referred to as enclosed herein  
has the number of the "Express Mail" mailing label  
placed thereon prior to mailing. 37 CFR 1.10(b).

09931526-081601

2. Declaration of Oath

☒ Enclosed

☒ original ☐ facsimile

executed by:

☒ inventor(s)

☐ legal representative of inventor(s) 37 CFR 1.42 or 1.43

☐ joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached. 37 CFR 1.47.

☐ petition and statement required by 37 CFR 1.47 also attached. See item 7 below for fee.

☐ Not Enclosed

☐ Application is made by a person authorized under 37 CFR 1.41(c) on behalf of all of the above named inventor(s). The declaration or oath, along with the surcharge required by 37 CFR 1.16(e) can be filed subsequently.

☐ Showing that the filing is authorized. (Not required unless called into question. 37 CFR 1.41(d)).

NOTE: Where the filing is a completion in the U.S. of an international application under 35 U.S.C. 371(c)(4) then the declaration must be filed.

3. Assignment

☒ An assignment of the invention to Hewlett-Packard Company (with separate cover sheet and separate check for \$40.00)

4. Certified Copies

☐ A certified copies of Application No. from which priority is claimed.

NOTE: Must be referred to in oath or declaration. 37 CFR 1.55 and 163.

5. Fee Calculation

CLAIMS		AS FILED			
Number Filed		Number Extra		Rate	Basic Fee \$ 710.00
Total Claims	6 -20=	0 x		\$ 18.00	0
Independent Claims	2 -3=	0 x		\$ 80.00	0
Multiple Dependent Claim(s), If Any		0 x		\$ 270.00	0

☐ Amendment canceling extra claims enclosed

☐ Amendment deleting multiple dependencies enclosed

☐ Fee for extra claims is not being paid at this time

NOTE: If the fee for extra claims are not paid on filing they must be paid or the claims canceled by amendment, prior to the expiration of the time period set for response by the Patent and Trademark Office in any notice of fee deficiency, 37 CFR 1.16(d).

Filing Fee Calculation \$710.00

6. Small Entity Statement

- ☐ Verified statement that this is a filing by a small entity under 37 CFR 1.9 and 1.27.

Filing Fee Calculation (50% of above) \$ \_\_\_\_\_

NOTE: If a verified statement is filed within 2 months of the date of payment of first fee then the excess fee paid will be refunded on request. Notice of January 20, 1983. 1027 TMOG 114.

7. Fee Payment Being Made At This Time

- ☐ Not Enclosed

- ☐ No filing fee is submitted. This and the surcharge required by 37 CFR 1.16(e) can be paid subsequently.

NOTE: Where the filing is a completion in the U.S. of an international application the fee must be paid.

- ☒ Enclosed

☒ filing fee \$ 710.00

☐ recording assignment (\$40.00; 37 CFR 1.21(h)(i)) \$ \_\_\_\_\_

☐ petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached. 37 CFR 1.47 and 1.17 (h) \$ \_\_\_\_\_

Total fees enclosed \$ 710.00

8. Method of Payment of Fees

- ☒ check in the amount of \$ 710.00

- ☐ charge account No. 12-0415 in the amount of \$ \_\_\_\_\_  
A duplicate of this transmittal is attached.

NOTE: Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 CFR 1.22(b).

9. Authorization to Charge Additional fees

- ☒ The Commissioner is hereby authorized to charge the following additional fees which may be required to Account No. 12-0415:

☒ 37 CFR 1.16 (filing fees and presentation of extra claims)

☒ 37 CFR 1.17 (application processing fees)

☐ 37 CFR 1.18 (issue fee at or before Mailing of Notice of Allowance, pursuant to 37 CFR 1.311(b))


NOTE: 37 CFR 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application...prior to paying... issue fee".

10. Instructions As To Overpayment

- ☒ Credit Account No. 12-0415 ☐ refund

c/o LADAS & PARRY  
5670 Wilshire Boulevard  
Suite 2100  
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Telephone: (323) 934-2300  
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Richard P. Berg  
Attorney  
Reg. No. 28,145

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Arindam Das-Purkayastha, et al.  
Serial No.: Not yet assigned ) Group: Not yet assigned  
Filed: Concurrently herewith ) Examiner: Not yet assigned  
For: "APPARATUS AND METHOD FOR) Our Ref: B-4274 618998-3  
ESTABLISHING TRUST" ) Date: August 16, 2001

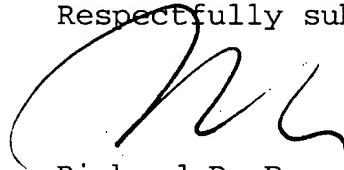
Commissioner of Patents and Trademarks  
Box New Patent Application  
Washington, D.C. 20231

CHANGE OF CORRESPONDENCE TELEPHONE NUMBER  
ON DECLARATION/POWER OF ATTORNEY

Sir:

Please direct all official telephone calls to the principal at  
(323) 934-2300.

Respectfully submitted,



Richard P. Berg  
Principal  
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FOOTED 9257E660

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Applicant: Arindam Das-Purkayastha, et al.  
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 Filed: Concurrently herewith ) Examiner: Not yet assigned  
 For: "APPARATUS AND METHOD FOR ) Our Ref: B-4274 618998-3  
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CLAIM TO PRIORITY UNDER 35 U.S.C. 119

Commissioner of Patents and Trademarks  
 Box New Patent Application  
 Washington, D.C. 20231

Sir:

[X] Applicant hereby makes a right of priority claim under 35 U.S.C. 119 for the benefit of the filing date(s) of the following corresponding foreign application(s):

<u>COUNTRY</u>	<u>FILING DATE</u>	<u>SERIAL NUMBER</u>
Great Britain	18 August 2000	0020371.1

[ ] A certified copy of each of the above-noted patent applications was filed with the Parent Application No. \_\_\_\_\_.

[ ] To support applicant's claim, a certified copy of the above-identified foreign patent application is enclosed herewith.

[X] The priority document will be forwarded to the Patent Office when required or prior to issuance.

Respectfully submitted,

Richard P. Berg  
 Attorney for Applicant  
 Reg. No. 28,145

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